

1     **Optogenetic activation of the serotonergic neural circuit between the**  
2             **dorsal raphe nucleus and pre-Bötzinger complex contributes to**  
3     **inhibition of seizure-induced respiratory arrest in the DBA/1 mouse**  
4                             **SUDEP model**

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5

1 **Abstract**

2 Sudden unexpected death in epilepsy (SUDEP) is the leading cause of death among  
3 epilepsy patients, occurring even more frequently in cases with anti-epileptic drug  
4 resistance. However, the underlying mechanism of SUDEP remains elusive. Our  
5 previous study demonstrated that enhancement of serotonin (5-HT) synthesis by  
6 intraperitoneal (IP) injection of 5-hydroxytryptophan (5-HTP) significantly reduced  
7 the incidence of seizure-induced respiratory arrest (S-IRA) in a DBA/1 mouse  
8 SUDEP model. Given that the 5-HT<sub>2A</sub> receptor (5-HT<sub>2A</sub>R) plays an important role  
9 in mediating the respiration system in the brain, we hypothesized that 5-HT<sub>2A</sub>R plays  
10 a key role in S-IRA and SUDEP. To test this hypothesis, we examined whether the  
11 decreased incidence of S-IRA evoked by either acoustic stimulation or  
12 pentylentetrazole (PTZ) injection following 5-HTP administration will be blocked by  
13 treatment with ketanserin (KET), a selective antagonist of 5HT<sub>2A</sub>R, in the DBA/1  
14 mouse SUDEP model. We observed that the reduction in S-IRA by 5-HTP was  
15 significantly reversed by IP or intracerebroventricular injection of KET. Considering  
16 the localization of 5-HT<sub>2A</sub>R in the pre-Bötzing complex (PBC), which plays a key  
17 role in regulating respiratory rhythm, we next examined whether KET acts on  
18 5-HT<sub>2A</sub>R in the PBC. To test this hypothesis, we activated the neural circuit between  
19 the dorsal raphe nucleus (DR) and PBC using optogenetics technology. We observed  
20 that stimulation of TPH2-ChETA-expressing neurons in the DR reduced the incidence  
21 of S-IRA evoked by PTZ, and this suppressant effect was significantly reversed by  
22 administration of KET in the bilateral PBC with no changes in electroencephalogram

1 activity. The neural circuit between the DR and PBC was confirmed by injection of  
2 cholera toxin subunit B555 (CTB-555), a nerve tracer, in the DR or PBC separately.  
3 Calcium signaling evoked by PTZ within neurons of the PBC during seizures was  
4 significantly reduced by photostimulation of the DR. Taken together, our findings  
5 suggest that 5-HT<sub>2A</sub>R plays a critical role in regulating S-IRA and targeting the  
6 serotonergic neural circuit between the DR and PBC is a promising approach to  
7 preventing SUDEP.

8 **Keywords:** sudden unexpected death in epilepsy; 5-hydroxytryptophan; ketanserin;  
9 pre-Bötzinger complex; dorsal raphe nucleus; 5HT<sub>2A</sub> receptor; pentylentetrazole;  
10 GCaMP6f

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## 1 1. INTRODUCTION

2 Continued research has demonstrated that sudden unexpected death in epilepsy  
3 (SUDEP) is the leading cause of death among patients with epilepsy, occurring even  
4 more frequently among patients with antiepileptic drug resistance <sup>1-4</sup>. Currently,  
5 respiratory dysfunction during seizures is regarded as a leading mechanism of SUDEP.  
6 The latest advancements in understanding the pathogenesis of SUDEP revealed that  
7 cardiopulmonary dysfunction plays an important role in the occurrence of SUDEP <sup>1-5</sup>.  
8 Some studies have indicated that several selective serotonin (5-HT) reuptake  
9 inhibitors (SSRIs) can prevent S-IRA evoked by generalized audiogenic seizures  
10 (AGSz) in DBA/1 mice by elevating 5-HT levels in the synaptic cleft <sup>17-19</sup>. However,  
11 due to the limitations of animal SUDEP models, the role of 5-HT synthesis and the  
12 effects of targeting 5-HT receptors in the brain in modulating S-IRA and SUDEP  
13 remain unclear.

14 It had been accepted that tryptophan hydroxylase-2 (TPH2) in brain can convert  
15 l-tryptophan to 5-hydroxytryptophan (5-HTP), which can be further converted to  
16 5-HT by aromatic L-amino acid decarboxylase <sup>22-24</sup>. A previous study showed that  
17 TPH2 is the rate-limiting enzyme in 5-HT synthesis in brain <sup>22</sup>. Our group previously  
18 tested the correlation between TPH2 protein expression and activity and found that  
19 TPH2 protein expression varied consistently with TPH2 activity in the same model <sup>11</sup>.  
20 Thus, the expression of TPH2 is vital for the conversion of endogenous 5-HTP to  
21 5-HT, thereby reducing the incidence of S-IRA and preventing SUDEP. However, it  
22 remains unknown how 5-HT mediates S-IRA and SUDEP in our mouse model.

1           Our previous research showed that seizure-induced respiratory arrest (S-IRA) can  
2 lead to the occurrence of SUDEP when evoked by either acoustic stimulation or  
3 pentylenetetrazole (PTZ) injection in a DBA/1 murine model <sup>5-12</sup>, and the incidence of  
4 S-IRA evoked by acoustic stimulation or PTZ treatment was significantly reduced by  
5 treatment with 5-HTP in two models of SUDEP <sup>5</sup>. However, the key target within the  
6 brain that mediates the 5-HTP-induced reductions in S-IRA and SUDEP has yet to be  
7 identified. Considering evidence that 5-HT<sub>2A</sub> receptor (5-HT<sub>2AR</sub>) is a key factor  
8 mediating respiratory function in the brainstem <sup>14-15</sup>, we questioned whether  
9 application of 5-HTP could reduce the incidence of S-IRA by targeting 5-HT<sub>2AR</sub> in  
10 the brain. If so, we hypothesized that the suppressive effects of 5-HTP against S-IRA  
11 could be reversed by ketanserin (KET), a selective antagonist for 5-HT<sub>2AR</sub>, offering  
12 5-HT<sub>2AR</sub> a potential therapeutic target for preventing SUDEP.

13           To investigate the roles of 5-HTP and 5-HT<sub>2AR</sub> in the pathogenesis of S-IRA  
14 and SUDEP, we continued to apply acoustic stimulation and PTZ injection in the  
15 DBA/1 mouse SUDEP model to test the ability of KET to reverse the effects of  
16 5-HTP observed in our previous study. Considering the localization of 5-HT<sub>2AR</sub> in  
17 the pre-Bötzinger complex (PBC), which plays a key role in regulating respiratory  
18 rhythm, we next examined whether KET acts on 5-HT<sub>2AR</sub> in the PBC <sup>12</sup>. To test this  
19 hypothesis, we activated the neural circuit between the dorsal raphe nucleus (DR) and  
20 PBC using optogenetics technology. Based on our previous finding that S-IRA in  
21 DBA/1 mice can be significantly prevented by optogenetic activation of  
22 TPH2-Channelrhodopsin 2 (ChR2) neurons in the DR, we further activated

1 TPH2-ChETA neurons in the DR of DBA/1 mice to observe whether the suppression  
2 of S-IRA in the PTZ injection model by photostimulation of the DR depends on the  
3 activation of 5-HT<sub>2A</sub>R located in the PBC. It turned out that the lower incidence of  
4 S-IRA evoked by PTZ by optogenetic activation of TPH2-ChETA neurons in the DR  
5 was remarkably reversed by injection of KET into the pre-Bötzing complex.  
6 Meanwhile, the neural circuit between the DR and the pre-Bötzing complex was  
7 confirmed by injection of tracer CTB-555 into the DR and the pre-Bötzing complex,  
8 respectively. Thus, our findings suggested that activating the neural circuit between  
9 the DR and the PBC might contribute to preventing SUEP.

10

## 11 **2. MATERIALS AND METHODS**

### 12 *2.1 Animals*

13 All experimental procedures were in line with the National Institutes of Health  
14 Guidelines for the Care and Use of Laboratory Animals and approved by the Animal  
15 Advisory Committee of Zhejiang University. DBA/1 mice were housed and bred in  
16 the Animal Center of Zhejiang University School of Medicine and given rodent food  
17 and water ad libitum. For the acoustic stimulation murine model, DBA/1 mice were  
18 “primed” starting from postnatal days 26–28 to establish consistent susceptibility to  
19 audiogenic seizures and S-IRA. For the PTZ-evoked seizure model, PTZ was  
20 administered to non-primed DBA/1 mice at approximately 8 weeks of age.  
21 TPH2-ChETA (E123T mutation in Channelrhodopsin 2 [ChR2])–expressing mice  
22 were generated by viral delivery of pAAV-TPH2 PRO-ChETA-EYFP-WPRES-PAS

1 under the control of the promoter of TPH2 into the DR, and TPH2-ChETA expression  
2 in the DR for 3 weeks and was confirmed by immunohistochemistry after finishing  
3 optogenetics experiments . The promoter for TPH2 that we used in the present study  
4 has been used previously to infect 5-HT neurons in the DR by our group to modulate  
5 the balance between reward and aversion <sup>13</sup>.

## 6 *2.2 Seizure induction and resuscitation*

7 S-IRA was evoked by acoustic stimulation or intraperitoneal (IP) administration  
8 of PTZ, as previously described <sup>5-12</sup>. For the acoustic stimulation model, each mouse  
9 was placed in a cylindrical plexiglass chamber in a sound-isolated room, and AGSz  
10 were evoked by an electric bell (96 dB SPL, Zhejiang People's Electronics, China).  
11 Acoustic stimulation was given for a maximum duration of 60 s or until the onset of  
12 tonic seizures and S-IRA. For the PTZ-evoked seizure model, S-IRA was evoked in  
13 non-primed DBA/1 mice by IP administration of a single dose of PTZ (Cat #P6500;  
14 Sigma-Aldrich, St. Louis, MO) at a dose of 75 mg/kg. Mice with S-IRA were  
15 resuscitated within 5 s after the final respiratory gasp using a rodent respirator (YuYan  
16 Instruments, Shanghai, China).

## 17 *2.3. Pharmacology experiment*

18 *2.3.1 Effect of IP administration of KET on 5-HTP-mediated suppression of S-IRA*  
19 *evoked by acoustic stimulation*

20 As shown in Fig 1A, susceptibility to S-IRA in primed DBA/1 mice was confirmed 24  
21 h prior to treatment with 5-HTP (Cat #107751; Sigma-Aldrich) or vehicle. 5-HTP  
22 (200 mg/kg) or vehicle (saline) was administered IP once daily for 2 days, and



1 induction of S-IRA was performed 90 min after the second administration. KET (Cat  
2 #8006; Sigma-Aldrich) at different doses or vehicle (25% dimethyl sulfoxide  
3 [DMSO]) was administered IP 30 min before acoustic stimulation. The effects of  
4 5-HTP and KET on S-IRA were examined and digitally recorded for offline analysis.

### 5 2.3.2 Effect of ICV administration of KET on 5-HTP-mediated suppression of S-IRA 6 by PTZ

7 For intracerebroventricular (ICV) injection, an ICV guide cannula  
8 (O.D.I.41×I.D.O.0.25mm/M3.5, 62004, RWD Life Science Inc., China) was  
9 implanted into the right lateral ventricle (AP - 0.45 mm; ML - 1.0 mm; V - 2.50 mm)  
10 to enable microinjections as previously described<sup>9,12</sup>. KET or vehicle (25% DMSO)  
11 was administered by ICV injection 15 min prior to PTZ injection in DBA/1 mice in  
12 the same manner followed 5-HTP administration (Fig 2A). The incidence of S-IRA,  
13 latency to AGSz, duration of wild running and clonic seizures, duration of  
14 tonic-clonic seizures, and seizure scores were determined by offline analysis of video  
15 recordings<sup>5-10, 17-18</sup>. The group treatments were as follows: 1) saline (IP) was  
16 administered 75 min prior to PTZ (75 mg/kg, IP) and 25% DMSO (2 µl, at a rate of  
17 0.5 µl/min ICV) 15 min prior to PTZ injection as control; 2) 5-HTP (200 mg/kg, IP)  
18 was administered 75 min prior to PTZ (75 mg/kg, IP) and 25% DMSO (2 µl, at a rate  
19 of 0.5 µl/min ICV) 15 min prior to PTZ injection; and 3) 5-HTP (200 mg/kg, IP) was  
20 administered 75 min prior to PTZ (75 mg/kg, IP), with KET (9.15 nmol or 18.3 nmol,  
21 dissolved in 2 µl 25% DMSO, at a rate of 0.5 µl/min ICV) administered 15 min prior  
22 to PTZ injection.

## 1 *2.4 Optogenetics experiments*

### 2 2.4.1 Stereotactic surgery

3 DBA/1 mice at 8 weeks of age were anesthetized with 3.5% chloral hydrate and  
4 head-fixed in a stereotaxic apparatus (68018, RWD Life Science Inc., Shenzhen,  
5 China), as previously described <sup>7</sup>. Throughout the entire surgical process, the body  
6 temperature of anesthetized mice was kept constant at 37°C using a heating pad. If the  
7 DBA/1 mice showed pain in response to a paw pinch, an additional 10% of the initial  
8 dosage of sodium pentobarbital was given to guarantee a painless state. For  
9 optogenetic viral delivery of pAAV-TPH2 PRO-ChETA-EYFP-WPRES-PAS,  
10 microinjection (100 nl, 40 nl/min) was performed using the following stereotaxic  
11 coordinates for the DR (AP – 4.55 mm, ML – 0.44 mm, DV – 2.80 mm, 10°right)  
12 based on the mouse brain atlas. Viruses were delivered via a gauge needle for the  
13 specification of 10ul (cat# 60700010, Gao Ge, Co., Ltd, ShangHai, China) by an Ultra  
14 Micro Pump (160494 F10E, WPI) over a period of 10 min; the syringe was not  
15 removed until 15–20 min after the end of infusion to allow diffusion of the viruses.  
16 Then, the optical fiber (FOC-W-1.25-200-0.37-3.0, Inper, Hangzhou, China) was  
17 implanted above the area (AP – 4.55 mm, ML – 0.44 mm, DV – 2.80 mm, 10°right)  
18 for 0.05 mm (AP – 4.55 mm, ML – 0.44 m, DV – 2.75 mm, 10°right). For ICV  
19 surgery, ICV guide cannula implantation was completed as described for the  
20 pharmacology experiment and was implanted with a headstage for EEG in the same  
21 mice as previously described <sup>12</sup>. For microinjection of KET in the bilateral PBC, guide  
22 cannulas (O.D.0.48×I.D.0.34 mm/M3.5,62033, RWD Life Science Inc.) were

1 implanted on both sides. CTB-555 (100 nl, 1  $\mu\text{g}/\mu\text{L}$ , BrainVTA Technology Co. Ltd,  
2 Wuhan, China) was injected in the DR (AP – 4.55 mm, ML – 0.44 mm, DV – 2.80  
3 mm, 10°right) or the right side of the PBC (AP – 6.80 mm, ML – 1.25 mm, DV –  
4 4.95 mm), and we waited approximately 2 weeks for retrograde labeling of projection  
5 neurons. For the photostimulation of the bilateral PBC, pAAV-TPH2  
6 PRO-ChETA-EYFP-WPRES-PAS was delivered in the bilateral PBC (AP – 6.80 mm,  
7 ML – 1.25 mm, DV – 4.95 mm) based on the mouse brain atlas for 3 weeks, and an  
8 optical fiber within a guide cannula (O.D.0.48×I.D.0.34mm/M3.5, 62033, RWD Life  
9 and FOC-W-1.25-200-0.37-3.0, Inper, Hangzhou, China) over 0.05 mm was  
10 implanted. For the photometry recordings, viral delivery of  
11 AAV2/9-mCaMKIIa-GCaMP6f-WPRE-pA via microinjection (100 nl,40 nl/min) was  
12 performed using the following stereotaxic coordinates for the bilateral PBC (AP –  
13 6.80 mm, ML – 1.25 mm, DV – 4.95 mm) based on the mouse brain atlas for 3 weeks,  
14 and an optical fiber (FOC-W-1.25-200-0.37-3.0, Inper) over 0.05 mm was implanted.

#### 15 **2.4.2 Photostimulating of the DR-mediated suppression of S-IRA by PTZ and on** 16 **EEG changes**

17 pAAV-TPH2 PRO-ChETA-EYFP-WPRES-PAS was delivered into the DR of DBA/1  
18 mice, and then an ICV guide cannula with a headstage for EEG was implanted for use  
19 for 3 weeks. The DBA/1 mice were divided into three groups. For the control group  
20 without photostimulation of the DR (n=7), ICV injection of vehicle (25% DMSO, 2  $\mu\text{l}$ )  
21 was given in a uniform manner at the manner (0.5  $\mu\text{l}/\text{min}$ ) 30 min prior to IP injection  
22 of PTZ (75 mg/kg). For the group treated with photostimulation of the DR without

1 ICV delivery of KET (n=6), ICV injection of the same concentration and volume of  
2 vehicle was given 15 min prior to photostimulation and 30 min prior to IP injection of  
3 PTZ (75 mg/kg). For another group treated with photostimulation of the DR and ICV  
4 delivery of KET (n=7), ICV injection of KET (total dose, 18.3 nmol) was given 15  
5 min prior to photostimulation and 30 min prior to IP injection of PTZ (75 mg/kg). The  
6 incidence of S-IRA in each group was analyzed statistically. EEG recordings in the  
7 three groups were started 5 min before PTZ injection and ended 30 min after PTZ  
8 injection. EEG activity was statistically analyzed as previously described <sup>12</sup>. The  
9 parameters for photostimulation of the DR were: blue-light, 465 nm, 20 Hz, 20-ms  
10 pulse width, 15 mW, and 20 min ) was delivered by the laser (B12124, Inper) through  
11 a 200- $\mu$ m optic fiber.

12 2.4.3 Photometric analysis of DR-mediated suppression of S-IRA by PTZ after  
13 microinjection of KET in the bilateral PBC

14 pAAV-TPH2 PRO-ChETA-EYFP-WPRES-PAS was delivered into the DR of DBA/1  
15 mice, and then and with tguide cannulas were implanted in the bilateral PBC for use  
16 for 3 weeks. For the group treated with photostimulation of the DR without  
17 administration of KET (n=7), microinjection of the vehicle (25% DMSO, 2  $\mu$ l) into  
18 the bilateral PBC was given in a uniform manner (0.5  $\mu$ l/min) 25 min prior to IP  
19 injection of PTZ (75 mg/kg). For another group treated with photostimulation of the  
20 DR with administration of KET (n=7), microinjection of KET with 200 nl (containing  
21 0.4  $\mu$ g KET) into the every unilateral PBC was given 25 min prior to IP injection of  
22 PTZ (75 mg/kg). Both groups received laser stimulation 10 min after microinjection.

1 KET (0.8  $\mu$ g in 400 nl) was given per mouse in the bilateral PBC. The parameters for  
2 photostimulation of the DR was the same to the ICV experiments.

3 2.4.4 Photometric analysis of the incidence of PTZ-induced S-IRA with  
4 TPH2-ChETA infection of neurons of the bilateral PBC and microinjection of KET in  
5 the bilateral PBC

6 DBA/1 mice were used 3 weeks after viral delivery of pAAV-TPH2  
7 PRO-ChETA-EYFP-WPRES-PAS into the bilateral PBC. For the control group  
8 treated without photostimulation (n=6), microinjection of the vehicle (25% DMSO, 2  
9  $\mu$ l) into the every unilateral PBC was given in a uniform manner (0.5  $\mu$ l/min) 25 min  
10 prior to IP injection of PTZ (75 mg/kg). For the treated group treated with  
11 photostimulation of the bilateral PBC (n=7), microinjection of the same concentration  
12 and volume of vehicle into the every unilateral PBC was given 25 min prior to IP  
13 injection of PTZ (75 mg/kg). For the group treated with KET and photostimulation of  
14 the bilateral PBC (n=3), microinjection of KET (0.4  $\mu$ g, 200 nl) into the every  
15 unilateral PBC was given 25 min prior to IP injection of PTZ (75 mg/kg). The  
16 parameters for photostimulation of the bilateral PBC were: blue-light, 465 nm, 20 Hz,  
17 20-ms pulse width, 15 mW, and 20 min.

18 2.4.5 Photometric analysis of Ca<sup>2+</sup> activity of neurons in the bilateral PBC with  
19 photo-stimulation of TPH2-ChETA neurons in the DR in PTZ-induced S-IRA model  
20 DBA/1 mice were used 3 weeks after viral delivery of pAAV-TPH2  
21 PRO-ChETA-EYFP-WPRES-PAS or AAV2/9-mCaMKIIa-GCaMP6f-WPRE-pA (100  
22 nl at a rate of 40 nl/min) into the DR and into the bilateral PBC. For the control

1 group treated with pAAV-TPH2 PRO-ChETA-EYFP-WPRES-PAS in the DR without  
2 photostimulation and AAV2/9-mCaMKIIa-GCaMP6f-WPRE-pA in the bilateral PBC  
3 (n=3), photometry recordings were started 5 min prior to IP injection of PTZ (75  
4 mg/kg) and ended 60 min after PTZ injection or until the death of mice if within 60  
5 min. For the group treated with pAAV-TPH2 PRO-ChETA-EYFP-WPRES-PAS in the  
6 DR and photostimulation of the DR as well as  
7 AAV2/9-mCaMKIIa-GCaMP6f-WPRE-pA in the bilateral PBC (n=3), photometry  
8 recordings were started 5 min prior to IP injection of PTZ (75 mg/kg) and ended 60  
9 min after PTZ injection or until the death of mice if within 60 min. The fiber  
10 photometry system (Inper, C11946) used a 488-nm diode laser. We segmented the  
11 data based on individual trials of seizure duration and determined the value of  
12 fluorescence change ( $\Delta F/F$ ) by calculating  $(F - F_0)/F_0$ .

### 13 *2.5 Immunohistochemistry and histology*

14 The placement of the optical fiber cannula tip for ICV microinjection of KET within  
15 the bilateral PBC in each mouse was verified by histology. The PBC region was  
16 identified by neurokinin-1 receptor (NK1R) staining. DBA/1 mice were sacrificed and  
17 perfused with phosphate-buffered saline (PBS) containing 4% paraformaldehyde  
18 (PFA). After saturation in 30% sucrose (24h), each mouse brain was sectioned into  
19 30- $\mu$ m-thick coronal slices with a freezing microtome (CM30503, Leica Biosystems,  
20 Buffalo Grove, IL, USA). The sections were first washed in PBS three times for 5 min  
21 each and then incubated in blocking solution containing 10% normal donkey serum  
22 (017-000-121, Jackson ImmunoResearch, West Grove, PA, USA), 1% bovine serum

1 albumen (A2153, Sigma-Aldrich), and 0.3% Triton X-100 in PBS for 1 h at room  
2 temperature. Then, for c-fos or TPH2 staining in the DR, sections were incubated at  
3 4°C overnight in a solution of rabbit anti-c-fos primary antibody (1:1000 dilution,  
4 2250T Rabbit mAb /74620 Mouse mAb, Cell Signaling Technology, Danvers, MA,  
5 USA) or mouse anti-TPH2 primary antibody (1:100 dilution, T0678, Sigma-Aldrich).  
6 The secondary antibodies used were donkey anti-mouse Alexa 488 (1:1000; A32766,  
7 Thermo Fisher Scientific, Waltham, MA, USA), donkey anti-mouse Alexa 546  
8 (1:1000; A10036, Thermo Fisher Scientific), or goat anti-rabbit cy5 (1:1000; A10523,  
9 Thermo Fisher Scientific), and slices were incubated in secondary antibody solutions  
10 for 2 h at room temperature. Similarly, for neurokinin 1 receptor (NK1R) or SA-2A R  
11 (5-HT-2AR) staining in the PBC, sections were incubated in a solution of rabbit  
12 anti-NK1 (1:1000 dilution, SAB4502913, Sigma-Aldrich) or mouse anti-SA-2A R  
13 (5-HT2AR) (1:100 dilution, sc-166775, Santa Cruz Biotechnology, Santa Cruz, CA,  
14 USA) at 4°C overnight followed by donkey anti-rabbit Alexa 488 secondary antibody  
15 (1:1000; A32766, Thermo Fisher Scientific), donkey anti-mouse Alexa 546 (1:1000;  
16 A10036, Thermo Fisher Scientific), or goat anti-mouse cy5 (1:400; A10524, Thermo  
17 Fisher Scientific) for 2 h at room temperature. After washing with PBS three times for  
18 15 min each, the sections were mounted onto glass slides and incubated in DAPI  
19 (1:4000; Cat#C1002; Beyotime Biotechnology; Shanghai, China) for 7 min at room  
20 temperature. Finally, the glass slides were sealed using an anti-fluorescence  
21 attenuating tablet. All images were taken with a Nikon A1 laser-scanning confocal  
22 microscope (Nikon, Tokyo, Japan). The numbers of immunopositive cells were

1 counted and analyzed using ImageJ (NIH, Bethesda, MD, USA). Notably, data from  
2 mice in which the implantation placement was outside of the targeted brain structure  
3 were not used in our experiments. Positively stained cells co-expressing c-fos, ChETA  
4 and TPH2 were counted as previously described <sup>7</sup>.

## 5 *2.6 Viral vectors*

6 pAAV-TPH2 PRO-ChETA-EYFP-WPRES-PAS (AVV2/8) (viral titer:  $1 \times 10^{13}$  vg/ml),  
7 was purchased from Sheng BO, Co., Ltd. (Shanghai, China), and the sequences of  
8 vectors were designed by Kazuki Nagayasu (Department of Molecular Pharmacology  
9 Graduate School of Pharmaceutical Sciences, Kyoto University). CTB-555 (1  $\mu$ g/ $\mu$ L)  
10 was purchased from Brain VTA Technology Co., Ltd. (Wuhan, China).  
11 AAV2/9-mCaMKIIa-GCaMP6f-WPRE-pA (viral titer:  $1 \times 10^{14}$  vg/ml) were purchased  
12 from Taitool Bioscience Co., Ltd. (Shanghai, China)

## 13 *2.7 Statistical analysis*

14 All data are presented as the mean  $\pm$  standard error of the mean (SEM). Statistical  
15 analyses were performed using SPSS 23 (SPSS Software Inc., Chicago, IL, USA).  
16 The incidence rates of S-IRA in different groups were compared using Wilcoxon  
17 signed rank test. Seizure scores, the latency to AGSz, the duration of wild running and  
18 clonic seizures, and duration of tonic-clonic seizures were evaluated using one-way  
19 analysis of variance (ANOVA). The Mann–Whitney U test or the Kruskal–Wallis H  
20 test. Analysis of covariance (ANCOVA) was used to compare the numbers of  
21 c-fos–positive cells in the DR of DBA/1 mice with and without photostimulation.  
22 Statistical significance was inferred if  $P < 0.05$ .



1

## 2 **3. Results**

### 3 *3.1 5-HTP-mediated suppression of S-IRA evoked by acoustic stimulation was* 4 *reversed by IP injection of KET*

5 Compared with that in the vehicle group in primed DBA/1 mice, the incidence of  
6 S-IRA evoked by acoustic stimulation was significantly reduced after IP delivery of  
7 5-HTP at a dosage of 200 mg/kg ( $P<0.001$ ). Moreover, compared with that in the  
8 vehicle group, the incidence of S-IRA in the group pre-treated with 5-HTP (200  
9 mg/kg, IP) and KET (5, 10, or 25 mg/kg, IP) was significantly decreased ( $P<0.01$ ,  $P<$   
10  $0.05$ ), indicating that these dosages of KET did not significantly reverse the  
11 prohibitive effect of 5-HTP. However, the incidence of S-IRA showed no difference  
12 between the vehicle group and the group treated with 5-HTP (200 mg/kg, IP) and  
13 KET (20 mg/kg, IP;  $P>0.05$ ) and was significantly lower in the group treated with  
14 5-HTP + 25% DMSO than in the group treated with KET (20 mg/kg, IP;  $P<0.05$ ),  
15 Thus, the suppressive effect by 5-HTP against S-IRA was markedly reversed by IP  
16 administration of 20 mg/kg KET (Figure 1). (Fig 1).

### 17 *3.2 5-HTP-mediated suppression of PTZ-induced S-IRA was reversed by ICV delivery* 18 *of KET*

19 Compared with that in the vehicle control group, the incidence of PTZ-induced S-IRA  
20 was significantly reduced in the group that received ICV injection of 5-HTP and 25%  
21 DMSO ( $P<0.05$ ). Also, the incidence of PTZ-induced S-IRA was not significantly  
22 less in the group treated with 5-HTP and KET (9.15 nmol, ICV) compare with the

1 vehicle group ( $P>0.05$ ). The incidence of PTZ-induced S-IRA was significantly  
2 greater in the group treated with 5-HTP and KET (9.15 nmol, ICV) than in the group  
3 treated with 5-HTP and 25% DMSO (ICV,  $P<0.05$ ), which suggested that the  
4 suppressive effect of 5-HTP against S-IRA was significantly reversed by KET at the  
5 ICV dosage of 9.15 nmol. Furthermore, compared with that in the vehicle control  
6 group, the incidence of PTZ-induced S-IRA in the group treated with 5-HTP + KET  
7 (18.30 nmol, ICV) was not significantly reduced ( $P>0.05$ ), and the incidence of  
8 PTZ-induced S-IRA in the group treated with 5-HTP and 25% DMSO (ICV) was  
9 significantly reduced compared with that in the group treated with 5-HTP and KET  
10 (18.30 nmol, ICV,  $P<0.05$ ). Thus, the suppressive effect of S-IRA against 5-HTP  
11 could be significantly reversed by KET at an ICV dosage of 18.30 nmol. No  
12 significant intergroup differences were observed in latency to AGSz, duration of wild  
13 running and clonic seizures, duration of tonic-clonic seizures, and seizure scores  
14 (AGSz latency:  $P=0.763$ ,  $F=6$ ; duration of wild running and clonic seizures:  $P=0.14$ ,  
15  $F=6$ ; duration of tonic-clonic seizures:  $P=0.119$ ,  $F=6$ ; seizure score:  $P=0.304$ ,  $F=6$ ;  
16 Figure 2, C,D,E,F). The seizure scores for two models from different groups did not  
17 differ significantly ( $P>0.05$ ), and no obvious influence on seizure behavior was  
18 observed within the reversal effects of KET (Figure 2).

### 19 *3.3 ChETA expression was induced in the membrane of 5-HT neurons in the DR of* 20 *DBA/1 mice*

21 The virus for expression of pAAV-TPH2 PRO-ChETA-EYFP-WPRES-PAS, under the  
22 control of the TPH2 promoter, was delivered into the DR of wild-type DBA/1 mice

1 with the age of 50 days to express for 3 weeks to create TPH2-ChETA-expressing  
2 mice. We first examined the expression of ChETA and TPH2 in 5-HT neurons in the  
3 DR of DBA/1 mice using immunohistochemistry (n=3). The expression of GFP, a  
4 surrogate marker for ChETA, was predominantly localized in the membranes of the  
5 cell body and axons of 5-HT neurons of the DR. TPH2 was predominantly confined to  
6 the cytosol of 5-HT neurons in the DR of DBA/1 mice. The ratio for merged  
7 expression of ChETA and TPH2 was consistent with our previous finding that the  
8 co-expression of ChR2 and TPH2 is located in the membranes of 5-HT neurons in the  
9 DR of DBA/1 mice <sup>7</sup> (Figures 3 and 4).

10 *3.4 Activation of 5-HT neurons in the DR reduced PTZ-induced S-IRA in DBA/1 mice*  
11 *and the lower incidence of S-IRA by photostimulating the DR this effect was*  
12 *significantly reversed by ICV delivery of KET*

13 We examined the effect of selective enhancement of 5-HT neurotransmission on  
14 PTZ-induced S-IRA by applying photostimulation (blue light, 20-ms pulse duration,  
15 20 Hz, 20 min) to 5-HT neurons in the DR of non-primed DBA/1 mice. Compared  
16 with the incidence of PTZ-induced S-IRA in DBA/1 mice without photostimulation  
17 (n=7), that after photostimulation of the DR for 20 min was significantly decreased  
18 (n=6,  $P<0.05$ ). However, after ICV administration of KET, the incidence of PTZ-induced  
19 S-IRA was significantly increased under the same parameters of photostimulation of the DR.  
20 (n=7,  $P<0.05$ ), indicating that the lower incidence of PTZ-induced S-IRA upon  
21 photostimulation of the DR was significantly reversed by blocking 5HT2AR receptor  
22 in the brain (Figure 5).

1 *3.5 Activation of 5-HT neurons in the DR produced differential effects on EEG activity*  
2 *in the S-IRA model with and without KET treatment*

3 Based on the above findings in the same experimental groups, we further examined  
4 the effect of activating 5-HT neurons in the DR on EEG activity in our mouse model  
5 of S-IRA with and without KET treatment. Compared with that in the group not  
6 exposed to photostimulation, a EEG activity was significantly reduced upon  
7 photostimulation of 5-HT neurons in the DR of the mouse model. Analysis of the  
8 EEG wave data showed that the delta wave was significantly reduced by  
9 photostimulation, and this effect was reversed by KET treatment ( $P<0.05$ ). No  
10 changes in the theta, alpha, beta, or gamma waves were apparent among the different  
11 treatment groups. These findings regarding EEG activity may reflect the specificity of  
12 5-HT<sub>2A</sub>R in the brain for modulating S-IRA and SUDEP (Figure 6).

13 *3.6 Reduction in S-IRA upon photostimulation of the DR was dependent on 5-HT<sub>2A</sub>R*  
14 *located in the PBC*

15 Although the incidence of S-IRA can be reduced by 5-HTP and by photostimulation  
16 of the DR and this effect was significantly reversed by both IP and ICV injection of  
17 KET, it still was to determine whether the role of 5-HT<sub>2A</sub>R in the PBC in mediating  
18 the process of S-IRA and SUDEP remained unclear. The incidence of PTZ-induced  
19 S-IRA upon photostimulation of the DR was 14.28%, whereas that with  
20 photostimulation of the DR and microinjection of KET (400 nl) into the bilateral PBC  
21 was 85.71% ( $P<0.01$ ). Subsequently, the existence of the neural circuit between the  
22 DR and the PBC was verified by using the nerve tracer CTB-555. Optogenetic

1 activation of this neural circuit was shown to contribute to the inhibition of S-IRA,  
2 and 5-HT<sub>2A</sub>R in the PBC may be a specific target for preventing SUDEP (Figures  
3 7–9). We speculated that the serotonergic neurotransmission resulting from  
4 optogenetic activation of the DR was accelerated between the DR and PBC,  
5 releasing the more content of 5-HT within PBC to activate 5-HT<sub>2A</sub>R to make  
6 abnormal respiratory rhythm recover the normal function against SIRA and SUDEP.

### 7 *3.7 Photostimulation increased c-fos expression in 5-HT neurons in the DR*

8 To investigate whether photostimulation increased the excitability of 5-HT neurons in  
9 the DR, we examined the neuronal expression of c-fos, an immediate early gene that  
10 is widely accepted as a marker for neuronal activity in optogenetics studies, in the DR  
11 of DBA/1 mice with and without photostimulation. Compared with the level of c-fos  
12 expression in 5-HT neurons in the DR of DBA/1 mice without photostimulation (n=2),  
13 c-fos expression in these neurons was significantly increased with photostimulation  
14 (20-ms pulse duration, 20 Hz, at 15 mW for 20 min, n=2,  $P<0.05$ ). This result  
15 indicated that the reduction in S-IRA by photostimulation occurs via activation of  
16 5-HT neurons (Figure 10).

### 17 *3.8 Photostimulation of the bilateral PBC did not significantly reduce the incidence of* 18 *PTZ-induced S-IRA*

19 We next investigated whether the incidence of PTZ-induced S-IRA after  
20 photostimulation of the bilateral PBC can be independently reduced by  
21 photostimulation of TPH<sub>2</sub>-ChETA neurons in the bilateral PBC. Although the  
22 incidence of PTZ-induced S-IRA was reduced by photostimulation of the bilateral

1 PBC, no significant difference was observed between the control group treated with  
2 PTZ and no photostimulation and the group treated with PTZ together with  
3 photostimulation (n=6 and n=7, respectively,  $P>0.05$ ). Additionally, no significant  
4 difference was observed between the control group treated with PTZ, no  
5 photostimulation, and micro-injection of vehicle and the group treated with PTZ,  
6 photostimulation, and micro-injection of 0.4  $\mu$ g KET (n=7 and n=3, respectively,  
7  $P>0.05$ ). These findings suggest that while activation of the neural circuit between the  
8 DR and PBC can significantly reduce the incidence of S-IRA, photostimulation of  
9 only the PBC did not significantly reduce the incidence of regulate S-IRA and SUDEP  
10 in our model (Figure 11), suggesting that the limited increment of 5-HT content  
11 caused by photostimulation of exclusively the PBC to combine 5-HT<sub>2A</sub>R in the PBC  
12 did not maintain the normal respiratory rhythm against S-IRA and SUDEP

13 *3.9 PTZ-induced neuronal activity in PBC during seizures was significantly reduced*  
14 *by photostimulation of the DR based on photometry recordings*

15 Calcium signaling within neurons of the bilateral PBC was recorded by photometry in  
16 mice infected with GCaMP6f in the bilateral PBC without photostimulation of the DR  
17 during the clonic and tonic seizure phases evoked by PTZ. The activity wave of  
18 calcium signals in the bilateral PBC was strong during the phases of clonic and tonic  
19 seizures in the group without photostimulation of the DR but weaker in the group with  
20 photostimulation of the DR during these phases. These data indicate that  
21 photostimulation of the DR can reduce abnormal calcium signaling activity in the  
22 bilateral PBC, which could serve to normalize respiration rhythm and thereby prevent

1 S-IRA and SUDEP (Figure 12).

## 2 **4. DISCUSSION**

3 SUDEP is a fatal complication of epilepsy, and although initial advances in  
4 understanding the role of 5-HT in the nervous system have helped to identify some  
5 causes of SUDEP, the pathogenesis of SUDEP remains poorly understood<sup>1-4</sup>. Based  
6 on our previous observation that administration of 5-HTP significantly reduced the  
7 incidence of S-IRA in AGSz and PTZ SUDEP models, we next sought to further  
8 elucidate the mechanism by which 5-HT<sub>2A</sub>R in the brain may modulate the  
9 pathogenesis of S-IRA in our models. In the present study, the lower incidence of  
10 S-IRA following 5-HTP treatment was significantly reversed by IP or ICV injection of  
11 KET in our models of S-IRA induced by treatment with acoustic stimulation or PTZ,  
12 a chemoconvulsant that is widely used to model human generalized seizures. While  
13 KET reversed the suppressive effect of 5-HTP on S-IRA in a dose-dependent manner  
14 in the PTZ injection model, a ceiling effect was observed for the ability of KET to  
15 reverse the 5-HTP-mediated reduced incidence of S-IRA in the acoustic stimulation  
16 SUDEP model.

17 Our previous study showed that administration of 5-HTP significantly reduced  
18 the incidence of S-IRA via anti-convulsant effects<sup>5,7</sup>. This indicated that most treated  
19 DBA/1 mice avoided S-IRA without experiencing tonic-clonic seizures other than  
20 wild running and generalized clonic seizures, and thus remained sensitive to some  
21 seizures. Different from our previous study in which atomoxetine reduced the  
22 incidence of S-IRA evoked by acoustic stimulation without affecting seizure behavior

1 in DBA/1 mice <sup>8-9</sup>, administration of 5-HTP significantly reduced the incidence of  
2 S-IRA through its anticonvulsant effects in our models. Such an anticonvulsant effect  
3 of 5-HTP is basically consistent with other studies showing that activation of 5-HT  
4 neurons can reduce the severity of seizures <sup>16-17</sup>. Other groups showed that boosting  
5 the 5-HT level in the brain suppresses seizures via anti-convulsant effects as well <sup>23-24</sup>.  
6 However, administration of KET increased the incidence of S-IRA in response to  
7 acoustic stimulation or PTZ injection even after 5-HTP treatment with the occurrence  
8 of partly wild running, clonic and/or tonic-clonic seizures, which demonstrated that IP  
9 administration of KET reversed the reduction of the incidence of S-IRA by 5-HTP and  
10 only partly affected seizure behaviors by acting on the neuron nucleus controlling  
11 respiratory activity.

12 To further determine the effects of KET on the incidence of S-IRA via action on  
13 the central nucleus in the brain, we administrated KET via the ICV pathway and  
14 measured its effect on S-IRA in DBA/1 mice in both SUDEP models. The results  
15 showed that KET reversed the suppressive effects of 5-HTP both via IP injection and  
16 ICV injection, suggesting that the reversal effect of KET is independent of the  
17 SUDEP model type.

18 Meanwhile, most DBA/1 mice in the different treatment groups recovered from  
19 S-IRA within 24–72 h, indicating that the recovery interval for S-IRA depends on the  
20 concentration of 5-HT in the brain. In addition, we observed a dose-dependent effect  
21 on the reversal of the effect of 5-HTP on the S-IRA incidence and a ceiling effect with  
22 25 mg/kg KET (IP). Indeed, our previous study showed that the reduced incidence of



1 S-IRA achieved via activation of 5-HT neurons in the DR by optogenetics was  
2 significantly reversed by ondansetron, a specific antagonist of the 5-HT<sub>3</sub> receptor <sup>7</sup>.  
3 However, we cannot rule out the possibility that 5-HT<sub>2A</sub>R mediates the pathogenesis  
4 of S-IRA and SUDEP by closely interacting with 5-HT<sub>3</sub> receptor (5-HT<sub>3</sub>R) in the  
5 brain. Further research is needed to characterize the interaction between 5-HT<sub>2A</sub>R  
6 and the 5-HT<sub>3</sub>R

7 Previously an SSRI also was shown to be effective at reducing S-IRA evoked by  
8 maximal electroshock (MES) in *Lmx1b(f/f)* mice on a primarily C57BL/6J  
9 background, a strain that is resistant to AGSz, and depletion of 5-HT neurons  
10 enhanced seizure severity, which led to S-IRA and could be prevented by 5-HT<sub>2A</sub>R  
11 activation through IP injection of with DOI (2,5-dimethoxy-4-iodophenylpropane  
12 hydrochloride), a selective agonist for 5-HT<sub>2A</sub>R, in a MES model <sup>18</sup>. However, it  
13 remained unclear whether depleting 5-HT neurons itself led to S-IRA and the reversal  
14 effects by DOI targeting peripheral or central 5-HT<sub>2A</sub>R. By contrast, based on our  
15 previous findings, we further explored the role of 5-HT neurotransmission and  
16 5-HT<sub>2A</sub>R by peripheral and central intervention approaches with KET, a selective  
17 antagonist for 5-HT<sub>2A</sub>R, in different SUDEP models. Thus, according to our findings,  
18 the role of 5-HT<sub>2A</sub>R in modulating S-IRA is supported by the results from the MES  
19 model, which further strengthens our understanding of the role of 5-HT in the  
20 pathogenesis of S-IRA and SUDEP and aid the future design of therapeutic strategies  
21 to prevent SUDEP.

22 Moreover, based on localized expression of 5-HT<sub>2A</sub>R in the PBC, which plays

1 an important role in modulating respiration rhythm, and on our previous finding that  
2 the incidence of S-IRA can be significantly reduced by activation of TPH2-ChR2  
3 neurons in the DR, we further investigated the mechanisms of how the interaction  
4 between 5-HT and 5-HT2AR mediates S-IRA and SUDEP in the same models. For  
5 this study, we used optogenetics methods to test whether activation of TPH2-ChR2  
6 neurons in the DR significantly reduced the incidence of S-IRA evoked by PTZ via  
7 activating 5-HT2AR in the PBC. In the present study, the reduction in the incidence of  
8 PTZ-induced S-IRA via optogenetic activation of TPH2-ChETA neurons in the DR  
9 was remarkably reversed by ICV injection of KET. Subsequently, the reduction in the  
10 incidence of PTZ-induced S-IRA by photostimulation of the DR was significantly  
11 reversed by microinjection of KET into the bilateral PBC, in turn, suggesting that  
12 photostimulation of the DR remarkably reduced the incidence of S-IRA by activating  
13 5-HT2AR in the PBC in our model. To further examine the bridge between the DR  
14 and PBC and its role in modulating S-IRA in our models, CTB-555, a nerve tracer,  
15 was used to confirm and establish the neural circuit between the DR and PBC. The  
16 results confirmed that the reduction in the incidence of PTZ-induced S-IRA upon  
17 photostimulation of the DR stems from the neural circuit between the DR and PBC.  
18 However, we only tested this using photostimulation of the DR and direct inhibition  
19 of 5-HT2AR in the bilateral PBC in this study. Whether activation of TPH2-neurons  
20 in the PBC can reduce the incidence of S-IRA still needs to be verified in subsequent  
21 experiments. Of course, the roles of other neural circuits between the DR and other  
22 brain structures involved in modulating S-IRA and SUDEP cannot be excluded in our

1 models. Nevertheless, our pharmacologic and optogenetic findings suggest that the  
2 neural circuit between the DR and PBC plays a key role in modulating S-IRA and  
3 SUDEP.

4 In addition, unlike in our pharmacology experiments, although S-IRA of DBA/1  
5 mice was blocked in optogenetic experiments, most DBA/1 mice continued to have  
6 clonic and tonic seizures. Upon analyzing the cause for this difference, the specificity  
7 of optogenetics and the specific delivery of KET by both ICV injection and injection  
8 into the PBC may be a cause. Meanwhile, the incidence of S-IRA evoked by PTZ was  
9 significantly reduced by activating the neural circuit between the DR and PBC  
10 without changing EEG activities, which further reflects the specificity of S-IRA  
11 inhibition in optogenetic experiments.

12 Our data also showed that activation of TPH2-ChETA neurons in the PBC is  
13 insufficient for significantly reducing the incidence of PTZ-induced S-IRA.  
14 Furthermore, the neuronal calcium signaling in the PBC during seizures induced by  
15 PTZ was significantly reduced by photostimulation of the DR according to  
16 photometry recordings. Thus, activation of the neural circuit between the DR and  
17 PBC can specifically prevent S-IRA and SUDEP.

## 18 **Conclusion**

19 The results of the present study suggest that the lowered incidence of PTZ-induced  
20 S-IRA achieved by administration of 5-HTP can be significantly reversed by  
21 treatment with KET. Furthermore, the suppressive effects of optogenetic activation of  
22 the serotonergic neural circuit between the DR and PBC on S-IRA also were

1 obviously reversed by KET in the DBA/1 mouse model. Therefore, 5-HT<sub>2A</sub>R in the  
2 PBC may be a specific and key target for the development of interventions to prevent  
3 SUDEP.

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16

#### 17 **7. DISCLOSURE**

18 All authors declare that they have no competing interests. We confirm that we have  
19 read the Journal's position on issues involved in ethical publication and affirm that  
20 this study is in compliance with those guidelines.

21

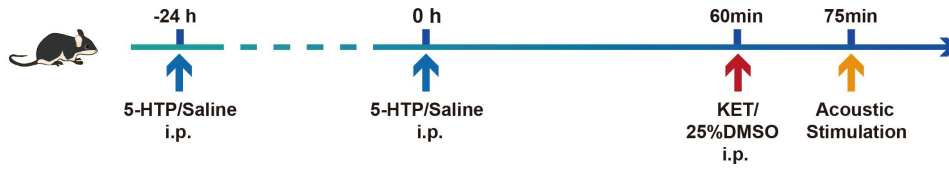
1 **Figure legends**

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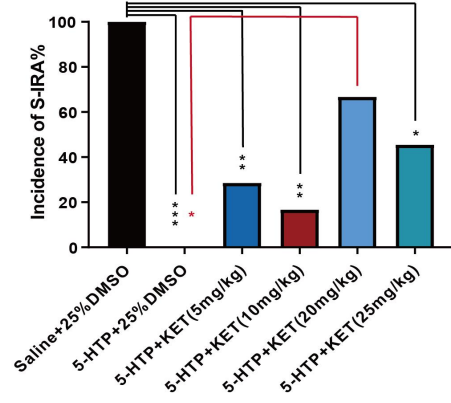
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Figure 1

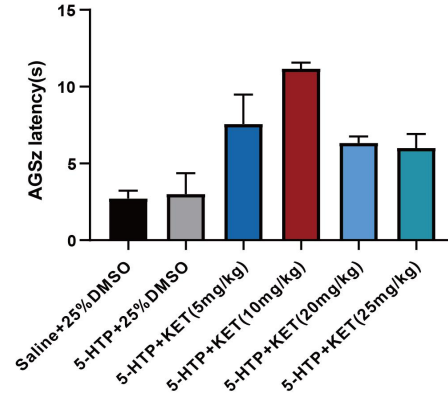
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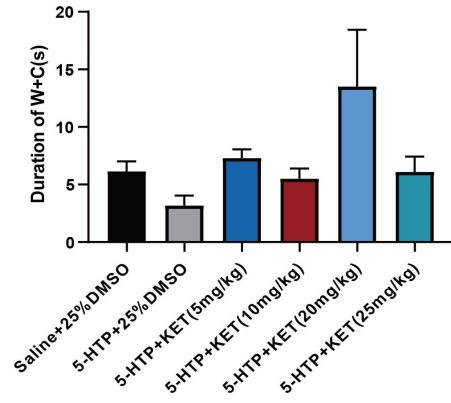
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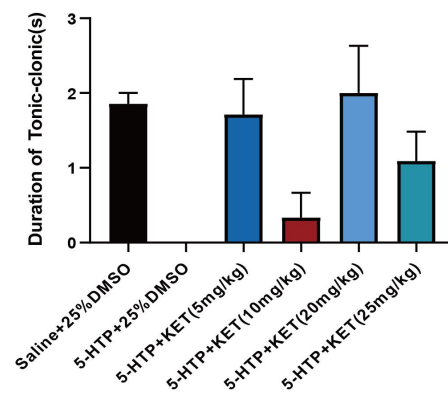
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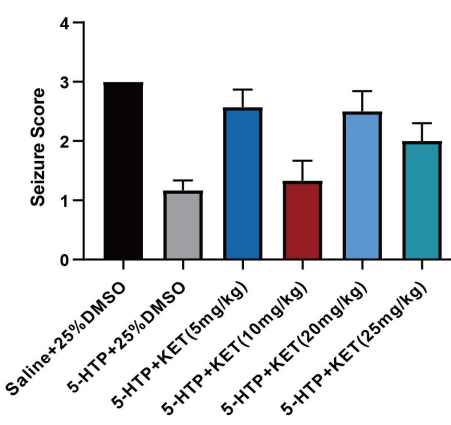
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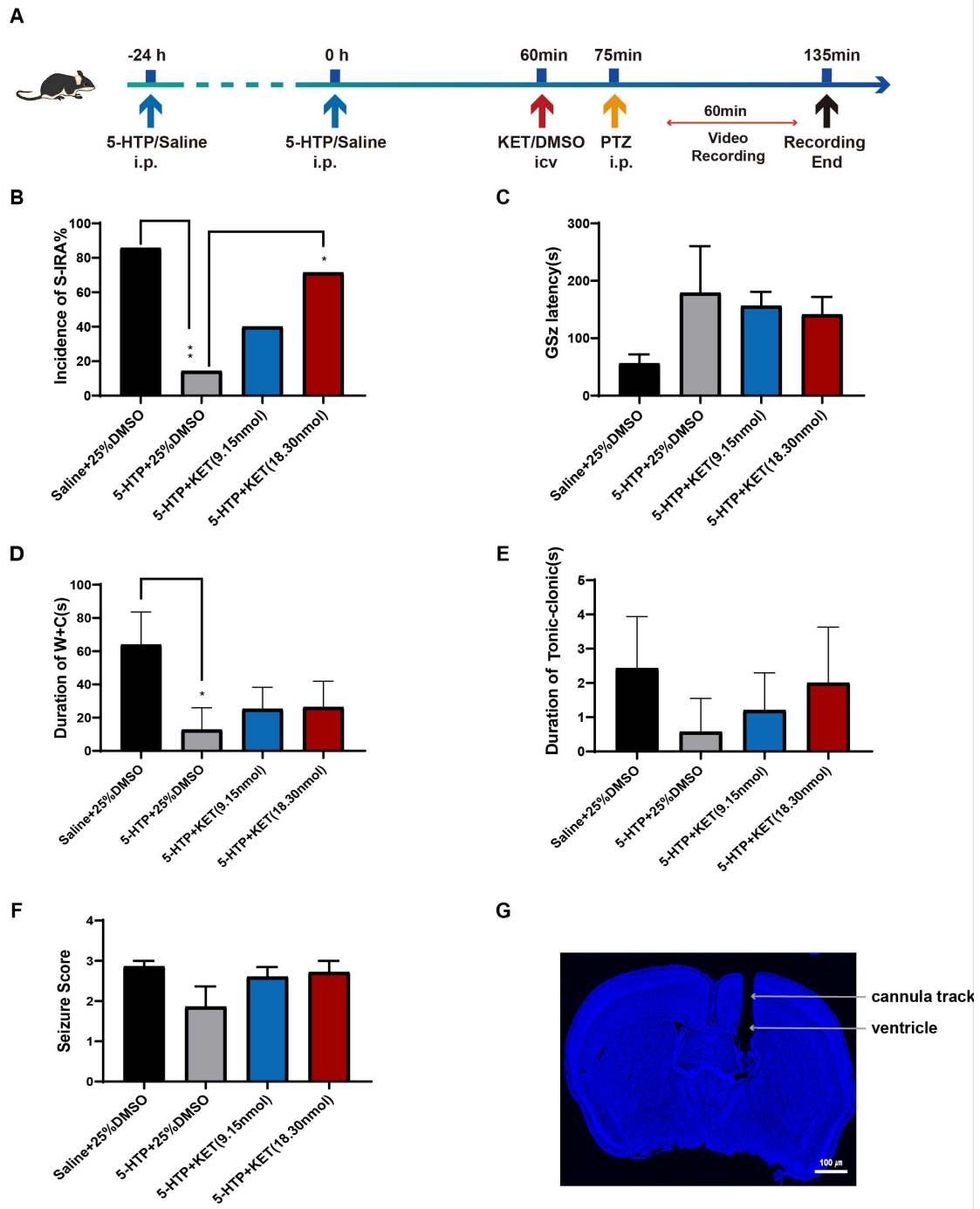
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2 **Figure 1. 5-HTP-mediated reduction in S-IRA evoked by acoustic stimulation**  
3 **was significantly reversed by IP injection of KET.**

4 B. Compared with that in the group treated with saline and 25% DMSO, the  
5 incidence of S-IRA evoked by acoustic stimulation was markedly lower in groups  
6 treated with 5-HTP and 25% DMSO (n=7 and n=6, respectively; \* $P<0.05$ ). Compared  
7 to that in the control group treated with vehicle, the incidence of S-IRA was  
8 significantly reduced in the group treated with 5-HTP and KET (5–10 mg/kg) (n=7  
9 and n=6, respectively;  $P<0.01$ ). However, no difference was found between the  
10 control group and the group treated with 5-HTP and KET (20 mg/kg) (n=7 and n=6,  
11 respectively;  $P>0.05$ ). Furthermore, compared with that in the group treated with  
12 5-HTP and 25% DMSO, the incidence of S-IRA in the group treated with 5-HTP and  
13 KET (20 mg/kg) was significantly increased (n=7 and n=6, respectively; \* $P<0.05$ ).  
14 However, compared with that in the group treated with 5-HTP and 25% DMSO, the  
15 incidence of S-IRA in the group treated with 5-HTP and KET (25 mg/kg) was not  
16 significantly increased (n=7 and n=11, respectively;  $P>0.05$ ). C-F, No intergroup  
17 differences were observed in latency to AGSz, duration of wild running and clonic  
18 seizures (W+C), duration of tonic-clonic seizures, and seizure scores ( $P>0.05$ ).

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Figure 2



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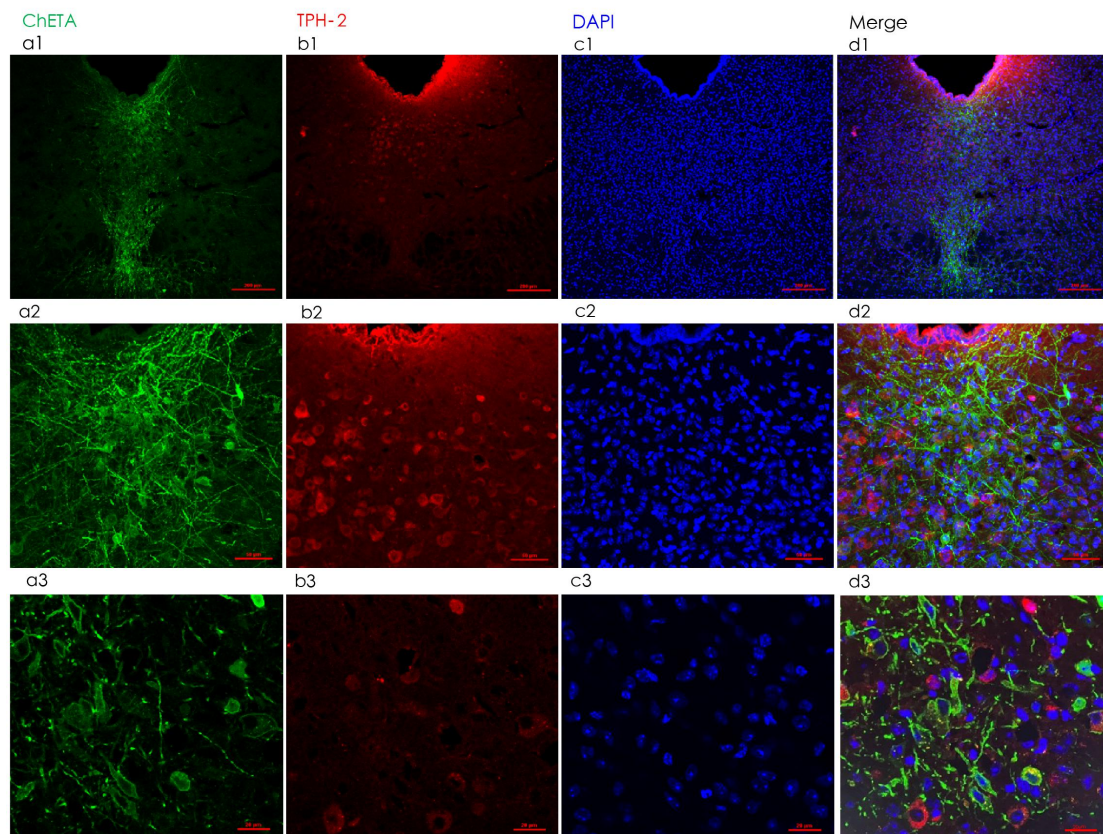


1 **Figure 2. 5-HTP-mediated reduction in PTZ-induced S-IRA was significantly**  
2 **reversed by ICV injection of KET.**

3 A, Compared to that in the control group, the incidence of PTZ-induced S-IRA was  
4 markedly lower in the group treated with 5-HTP and DMSO. However, no difference  
5 was observed between the control group and the groups treated with 5-HTP and KET  
6 (9.15 and 18.30 nmol). By contrast, the incidence of S-IRA was significantly reduced  
7 in the group treated with 5-HTP and ICV DMSO as compared with the groups treated  
8 with 5-HTP and KET (9.15 and 18.30 nmol). B–F, No intergroup differences were  
9 observed in latency to AGSz, duration of wild running plus clonic seizures (W+C),  
10 duration of tonic-clonic seizures, and seizure scores ( $P>0.05$ ). G, Representative  
11 images of cannula implantation in a DBA/1 mice for ICV delivery. S-IRA,  
12 seizure-induced respiratory arrest; AGSz, audiogenic seizures; IP, intraperitoneal;  
13 DMSO, dimethyl sulfoxide. Data are mean  $\pm$  SEM.

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**Figure 3**



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3 **Figure 3. Localized expression of ChETA in 5-HT neurons in the DR of DBA/1**  
4 **mice.**

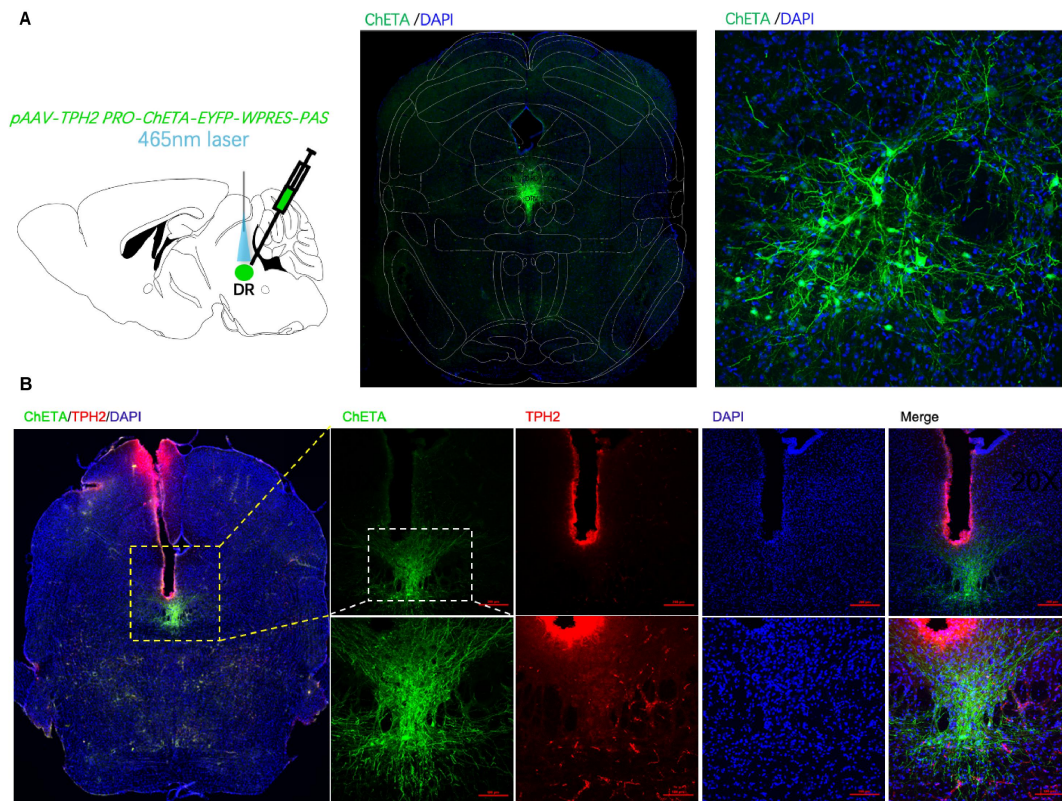
5 a1, a2 and a3, Neuronal immunostaining of GFP, a surrogate marker for ChETA, in  
6 5-HT neurons in the DR of a coronal brain slice. b1, b2 and b3, Immunostaining of  
7 TPH2, a key enzyme for 5-HT synthesis in the central nervous system. a1, b1, c3 and  
8 d1, merged images showing the co-expression of TPH2 and GFP in 5-HT neurons.

9 These data demonstrate that ChETA was restrictively expressed on the surface of  
10 5-HT neurons in the DR (n=3 mice). Confocal image magnifications: a1–d1, 10×;  
11 a2–d2, 20×; a3–d3, 40×.

12

1

Figure 4



2

3

4 **Figure 4. Placement of fiberoptic cannula tips in the DR.**

5 A, An example of a coronal brain slice, showing the location of an optic fiber cannula

6 tip and the expression of ChETA in the DR of a DBA/1 mouse, according to the

7 mouse atlas of Paxinos and Franklin (4th Edition, Paxinos and Franklin, 2013). B,

8 Neuronal immunostaining of co-expression of ChETA and TPH2 in the DR of a

9 DBA/1 mouse. No thermal injury due to photostimulation was observed in the area

10 around the optic fiber tips.

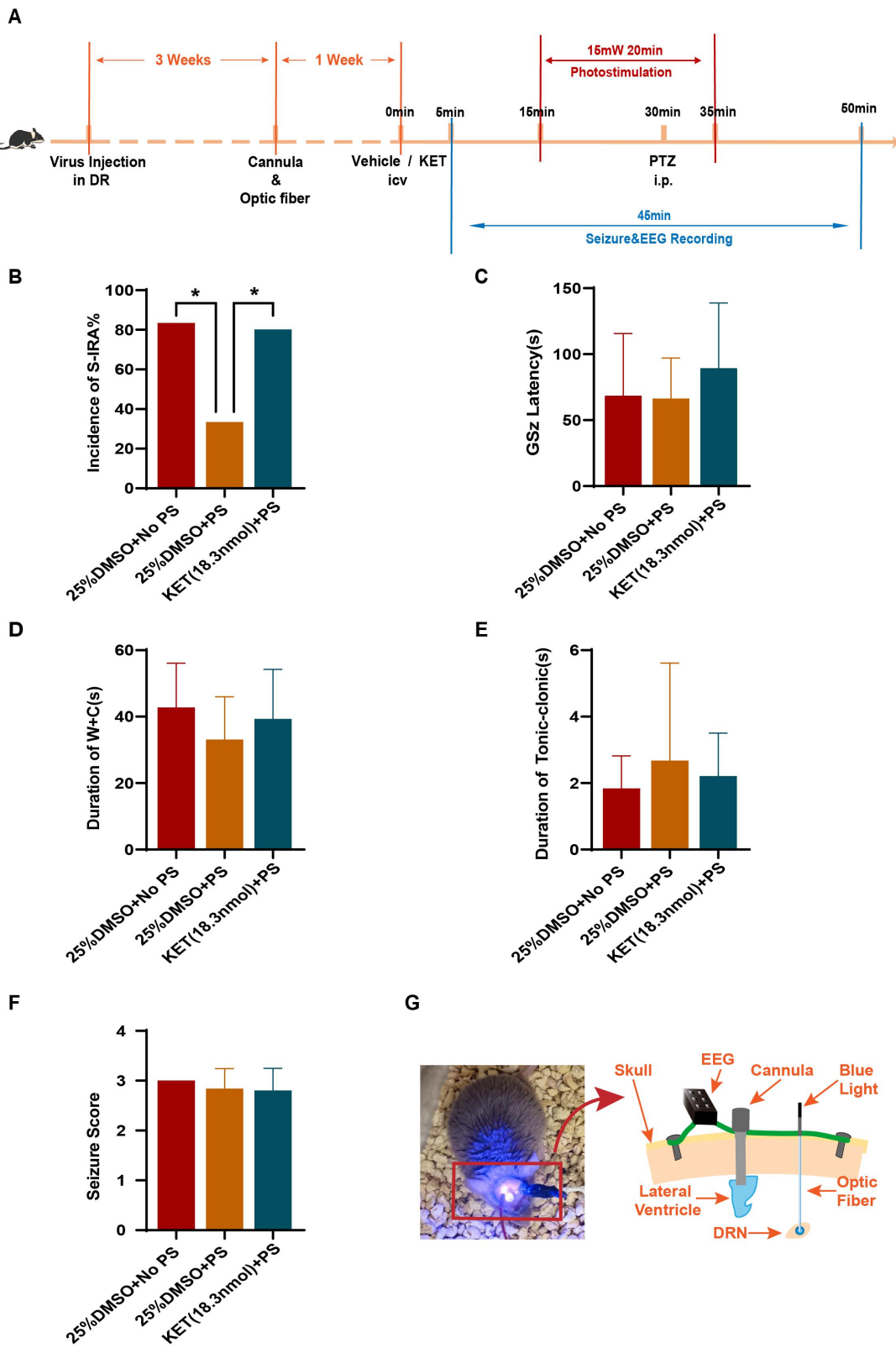
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**Figure 5**



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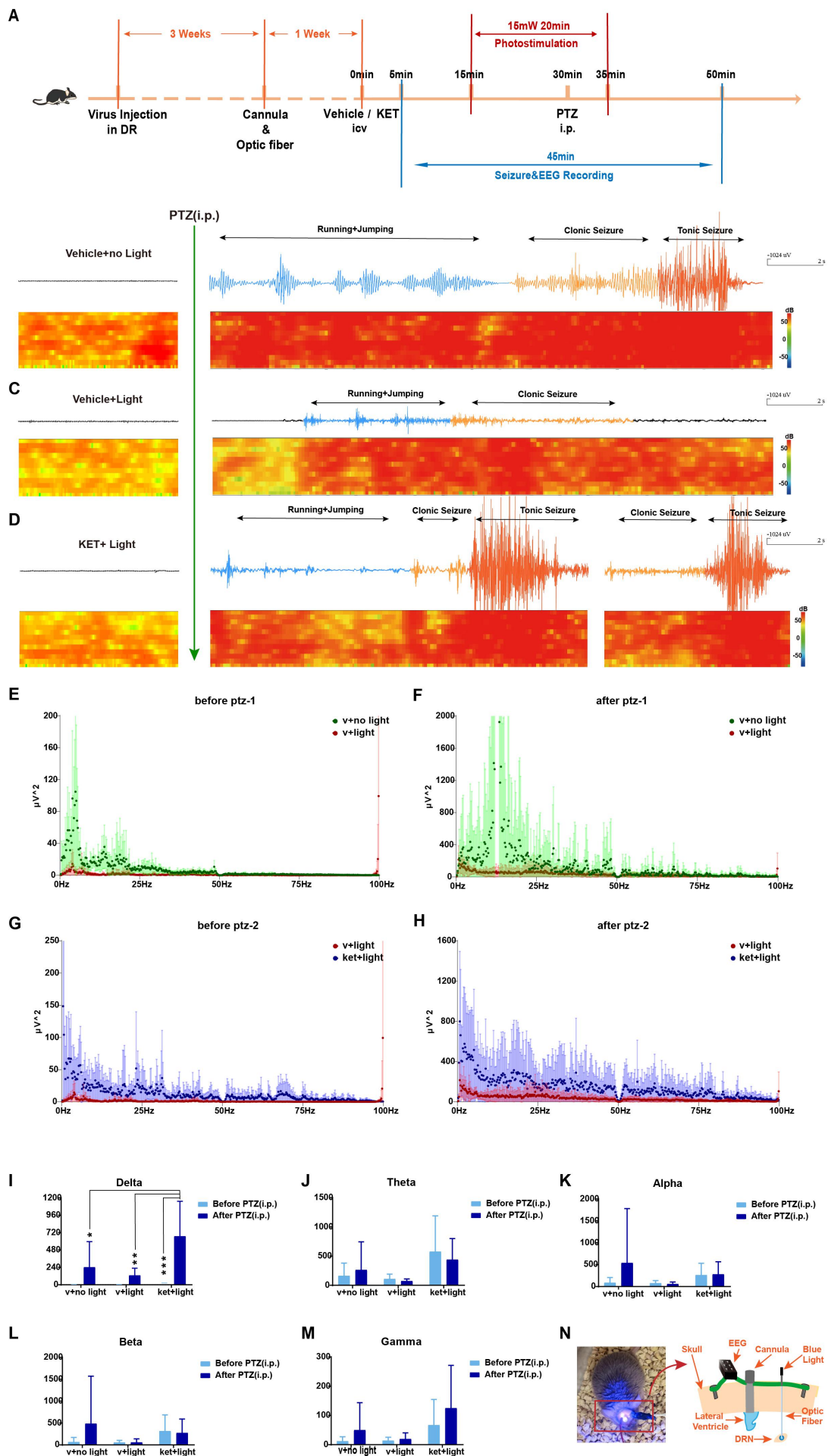
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1 **Figure 5. Optogenetic activation of TPH2-ChETA neurons in DR-mediated**  
2 **reduction of PTZ-induced S-IRA was significantly reversed by ICV injection of**  
3 **KET without changing seizure behavior.**

4 A, Compared with that in the control group treated with PTZ and no photostimulation,  
5 the incidence of PTZ-induced S-IRA was significantly reduced by photostimulation  
6 (n=7 and n=6, respectively;  $P<0.05$ ). B, However, the lower incidence of S-IRA after  
7 photostimulation was remarkably reversed by ICV injection of KET at a dose of 18.3  
8 nmol (n=6 and n=7, respectively;  $P<0.05$ ). C-F, No obvious differences between  
9 groups were observed in the analysis of seizure score, duration of wild running and  
10 clonic seizure, AGSz latency, and duration of tonic seizures. G, Representative images  
11 of implanted EEG, ICV and optic fiber devices in a DBA/1 mouse. No PS = no  
12 photostimulation; PS = photostimulation.

13

Figure 6



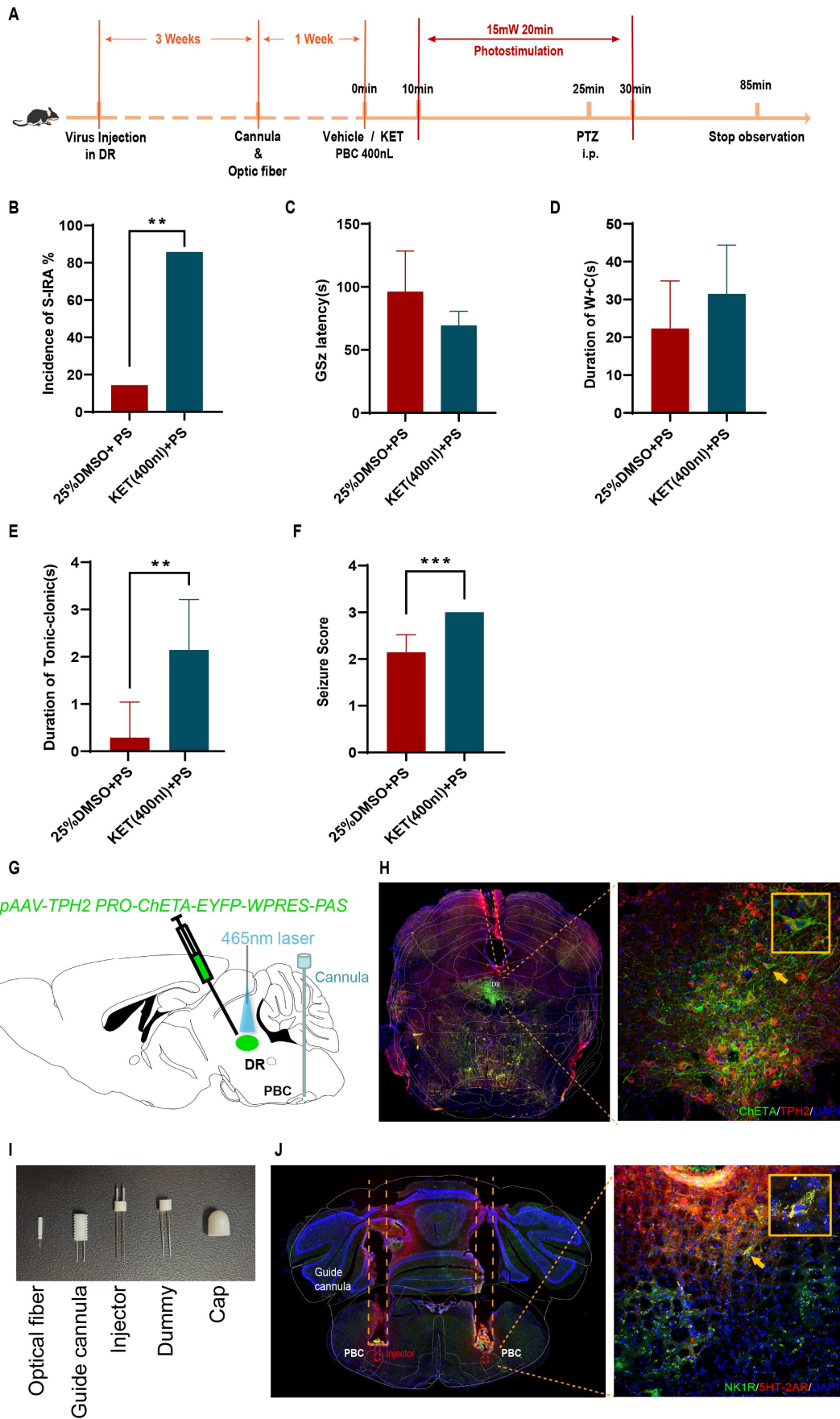
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2 **Figure 6. EEG activity upon optogenetic activation of TPH2-ChETA neurons in**  
3 **the DR-mediated reduction of PTZ-induced S-IRA and significant reversal of**  
4 **this reduction after ICV injection of KET.**

5 A. Schematic illustration of the pAAV-TPH2 PRO-ChETA-EYFP-WPRES-PAS  
6 being delivered into the DR of DBA/1 mice to implantation of optic fiber and cannula  
7 to receiving the photostimulation of the DR and recording the changing of EEG by ICV  
8 of KET. B-D Compared with that in the control group that received PTZ without  
9 photostimulation, the EEG activity during the clonic and tonic seizure stages was  
10 significantly suppressed in the group treated with PTZ and photostimulation.  
11 Furthermore, this suppression of EEG activity was significantly increased in the group  
12 treated with PTZ, photostimulation, and ICV microinjection of KET. E-M, Delta wave  
13 EEG activity was significantly reduced by light and reversed by KET. N,  
14 Representative images of implanted EEG, ICV, and optic fiber devices in a DBA/1  
15 mouse. Light = photostimulation; No light = no photostimulation.

16

**Figure 7**



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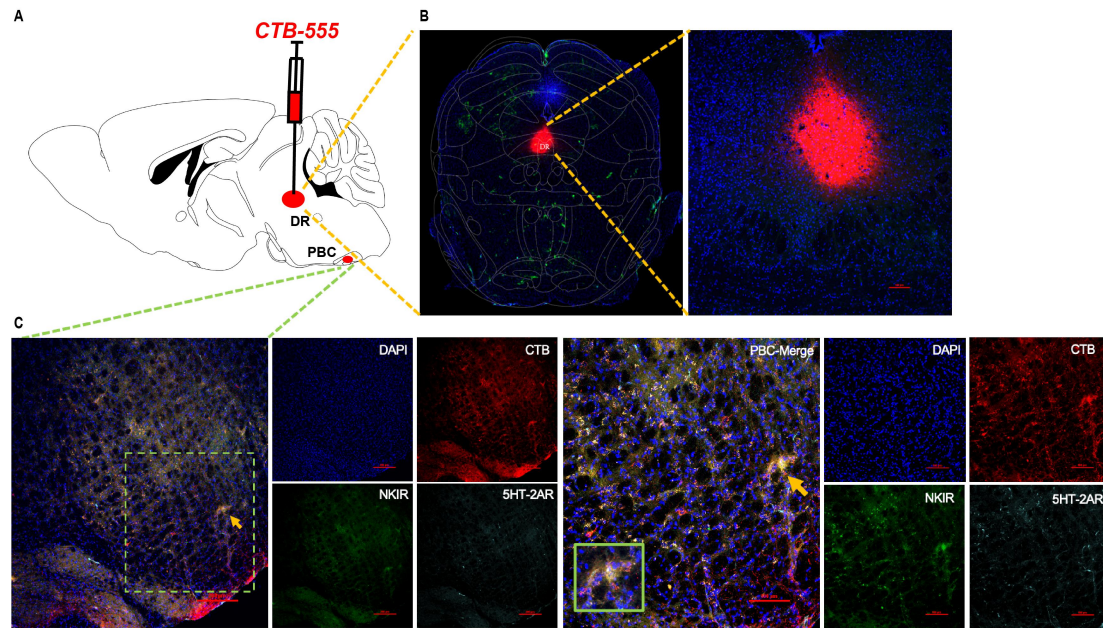


1 **Figure 7. Optogenetic activation of TPH2-ChETA neurons in DR-mediated**  
2 **reduction of PTZ-induced S-IRA was significantly reversed by injection of**  
3 **KET into the PBC.**

4 A. Schematic illustration of the pAAV-TPH2 PRO-ChETA-EYFP-WPRES-PAS  
5 being delivered into the DR of DBA/1 mice to implantation of optic fiber and cannula  
6 to receiving the photostimulation of the DR and observing the changing of EEG by  
7 microinjection of KET in the PBC. B, Compared with that in the control group  
8 treated with PTZ and photostimulation, the incidence of PTZ-induced S-IRA was  
9 significantly reduced in the group that received photostimulation and microinjection  
10 of 400 nl KET into the bilateral PBC. C-D, No obvious differences were observed  
11 between treatment groups in the seizure score, duration of wild running and clonic  
12 seizure, AGSz latency, or duration of tonic seizures. E-F, Compared with that in the  
13 group treated with 25% DMSO + PS, the duration of tonic seizure and seizure score  
14 were significantly increased in the group treated with KET + PS ( $P < 0.05$  and  $P < 0.01$ ,  
15 respectively). No PS = no photostimulation; PS = photostimulation. G-J,  
16 Representative images of the delivery of pAAV-TPH2  
17 PRO-ChETA-EYFP-WPRES-PAS into the DR and injection of KET into the  
18 bilateral PBC. H, Staining of ChETA, TPH2 and DAPI in the DR. I, All implantation  
19 devices in a DBA/1 mouse. J, The tracks for KET injection into the bilateral PBC  
20 and staining for NK1R, 5-HT<sub>2A</sub>R and DAPI in the bilateral PBC. No PS = no  
21 photostimulation; PS = photostimulation.

22

Figure 8



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3 **Figure 8. Neural projection from the DR to the PBC was established by**

4 **application of the nerve tracer CTB555.**

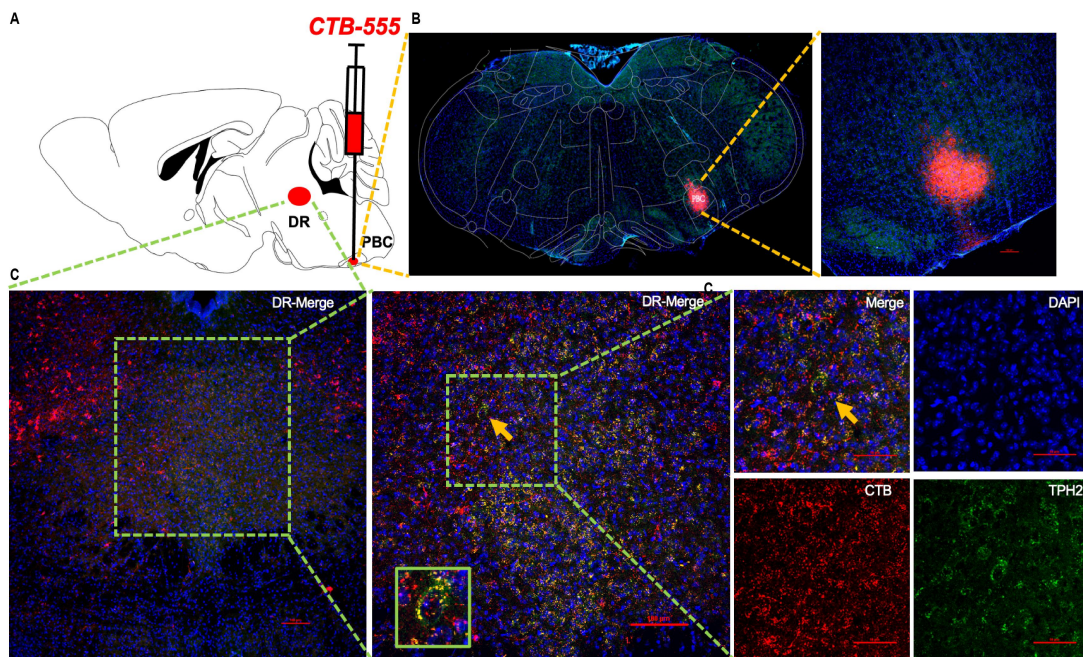
5 A, Representative coronal brain slice, showing the location of CTB555 injection with

6 the co-expression of TPH2 in the DR. B, Projection of the DR to the PBC with

7 co-expression of CTB, NK1R , a marker for respiratory neurons, and 5HT2AR.

8

Figure 9



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3 **Figure 9. Neural projection from the PBC to the DR was established by**

4 **application of the nerve tracer CTB555.**

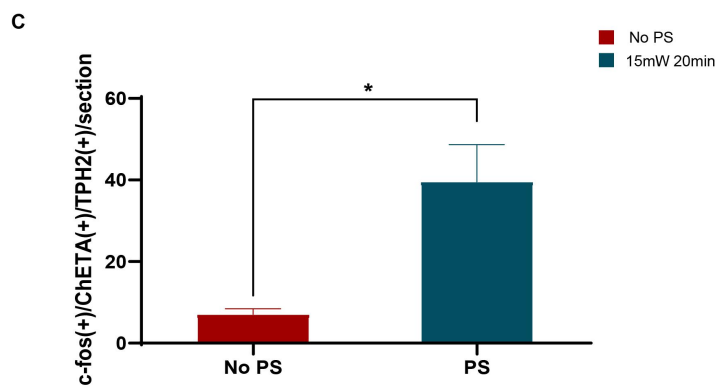
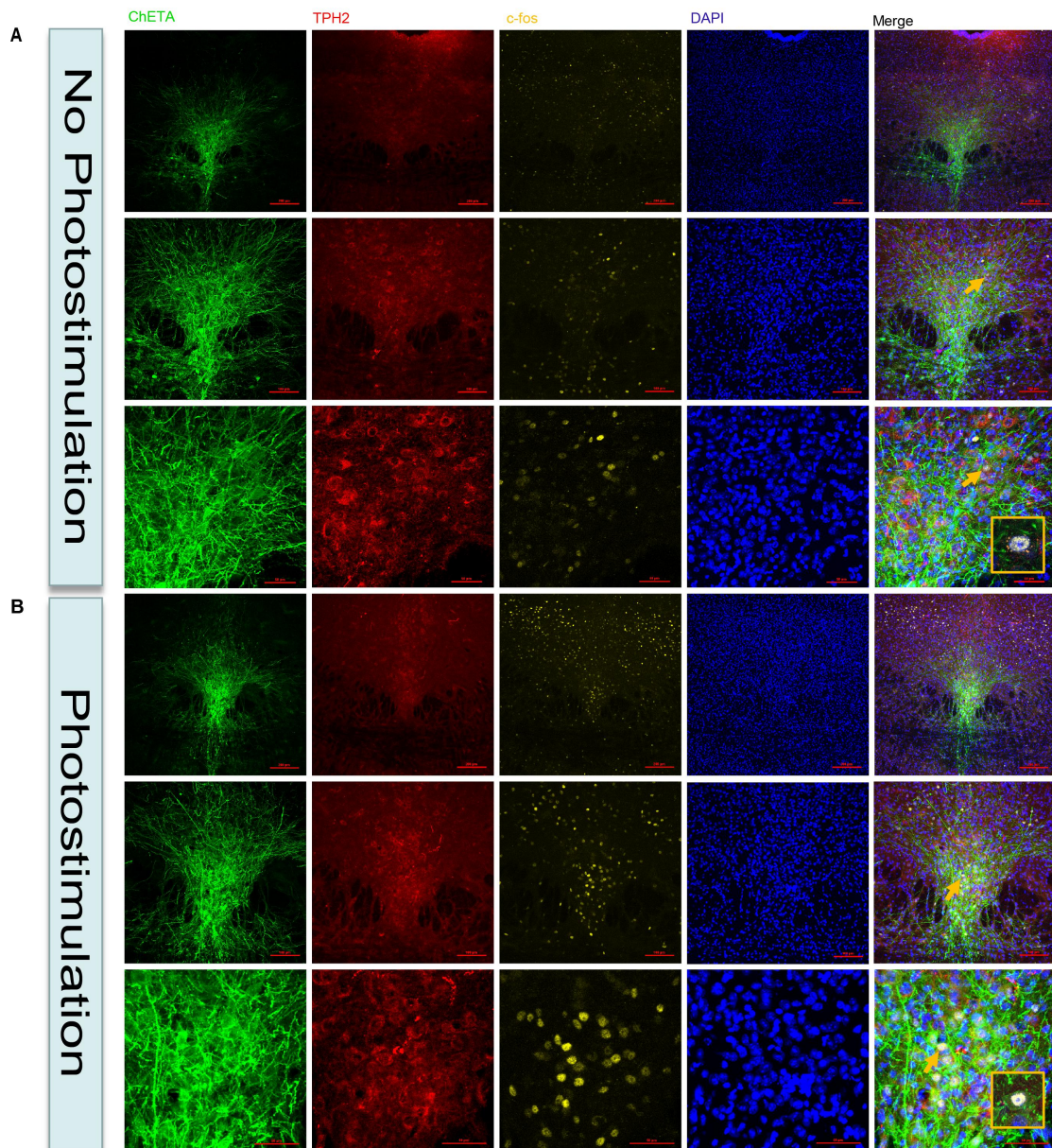
5 A, Representative coronal brain slice, showing the location of CTB555 injection with

6 the co-expression of NK1R and 5HT2AR in the DR. B, Projection to the DR with

7 co-expression of TPH2 and CTB555.

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Figure 10



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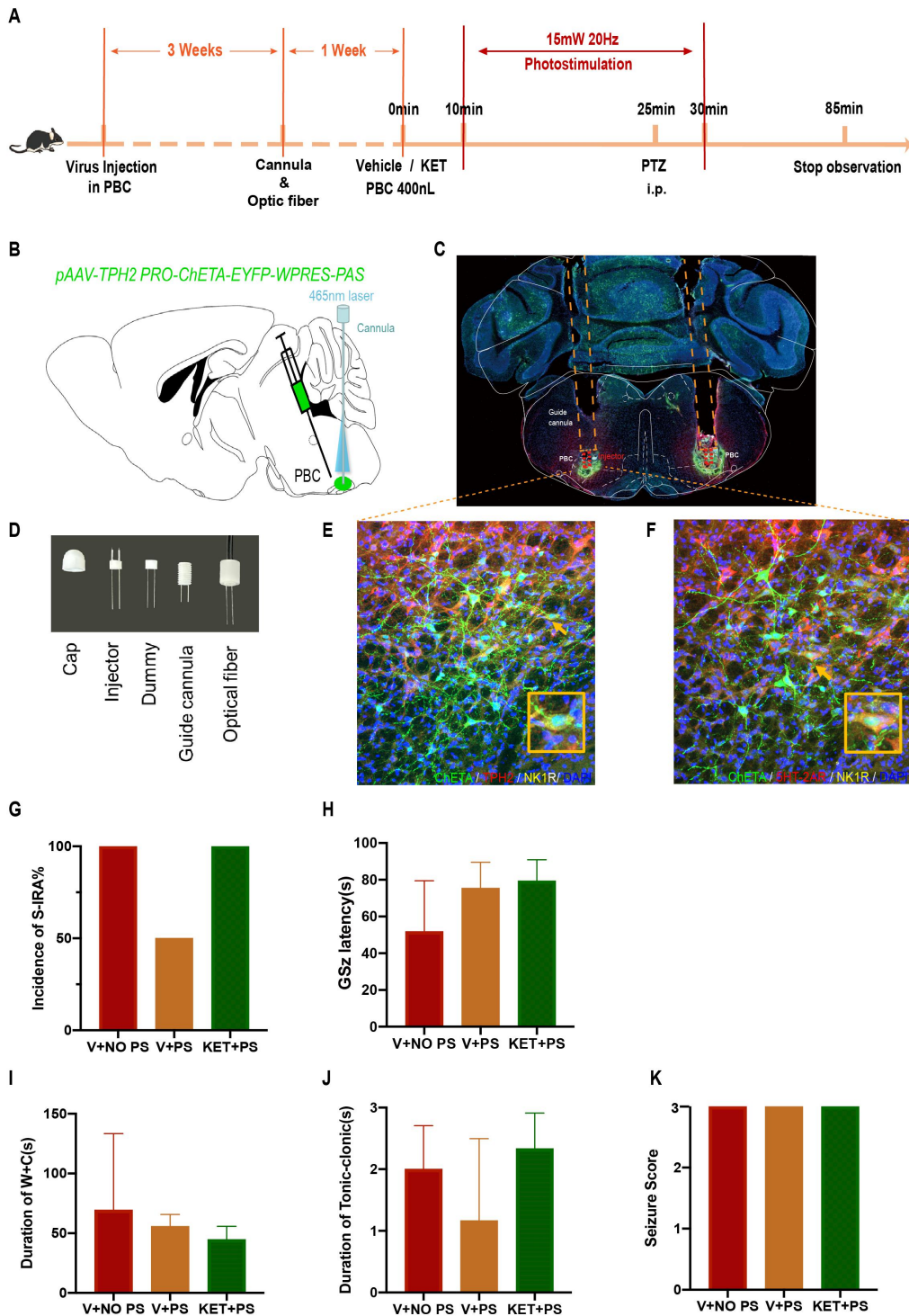
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2 **Figure 10. C-fos expression was significantly increased in the DR by**  
3 **photostimulation of TPH2-ChETA neurons in the DR of DBA/1 mice.**

4 A, Neuronal immunostaining showing co-localization of c-fos, TPH2, and GFP in a  
5 DBA/1 mouse that underwent implantation of a fiber optic cannula without  
6 photostimulation (n=2 mice). B, Immunostaining showing co-localization of c-fos,  
7 TPH2, and GFP in a DBA/1 mouse exposed to photostimulation at 15 mW for 20 min  
8 (n=2 mice). C, Quantification of c-fos(+)/GFP(+)/TPH2(+) cells in DBA/1 mice with  
9 and without photostimulation. Significantly more c-fos(+)/GFP(+)/TPH2(+) cells  
10 were observed in the PS group than in the No PS group ( $P<0.05$ ). No PS = no  
11 photostimulation; PS = photostimulation.

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**Figure 11**



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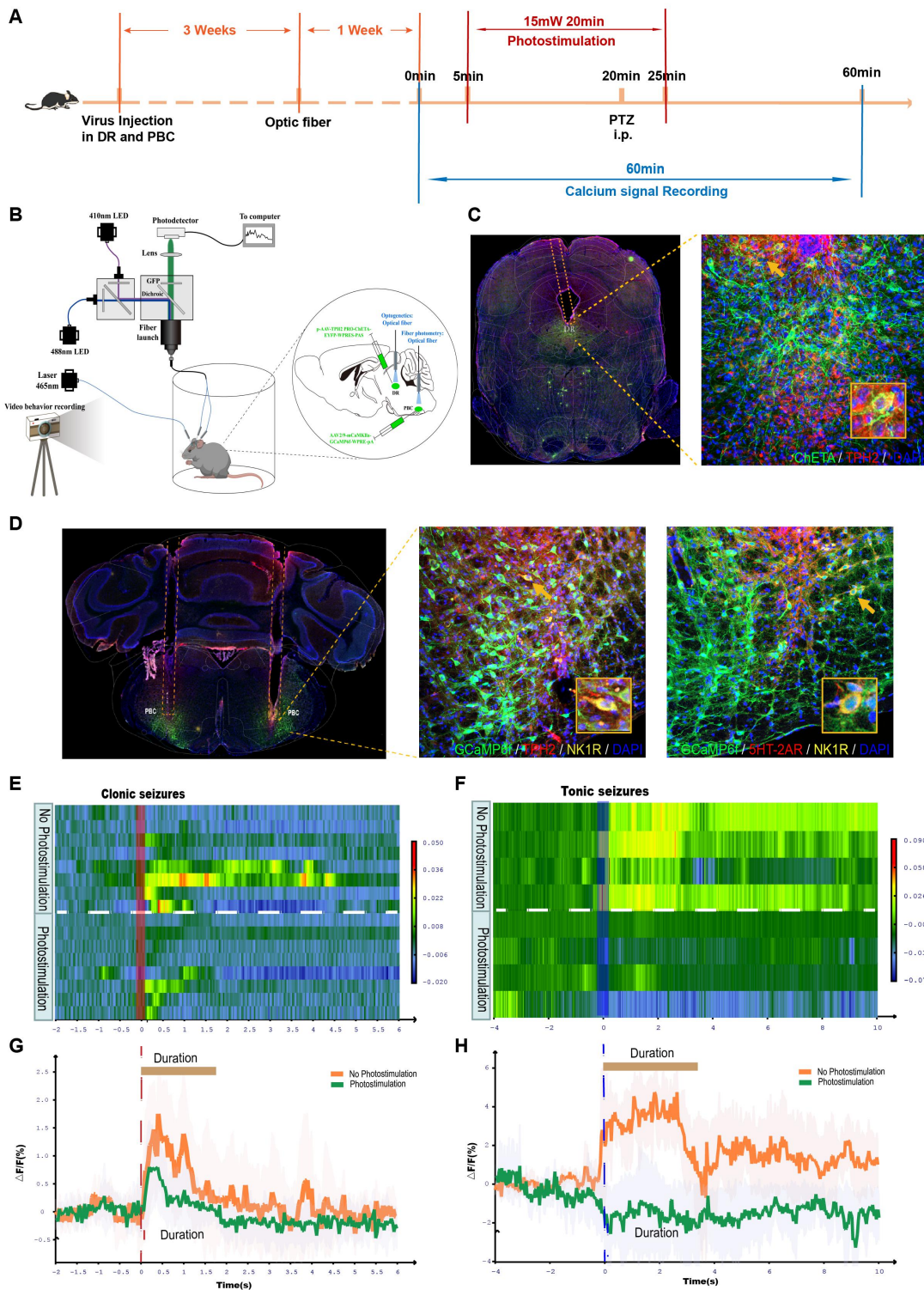
4

1 **Figure 11. Activation of ChETA-TPH2 neurons in the PBC could suppress S-IRA**  
2 **but did significantly not reduce the incidence of S-IRA in DBA/1 mice or prevent**  
3 **death.**

4 B-F, The tracks of optic fibers with cannula implanted into each side of the bilateral  
5 PBC and staining for ChETA, TPH2, NK1R, 5-HT2AR and DAPI expression in the  
6 bilateral PBC. G, Compared with that in the control group treated with PTZ without  
7 photostimulation, the incidence of PTZ-induce S-IRA was not significantly reduced  
8 by photostimulation of the bilateral PBC ( $P>0.05$ ). Furthermore, no significant  
9 differences were observed between the group with photostimulation and  
10 microinjection of vehicle into the bilateral PBC and the group with photostimulation  
11 and microinjection of KET into the bilateral PBC ( $P>0.05$ ). H-K, No obvious  
12 differences between treatment groups were observed in the seizure score, duration of  
13 wild running and clonic seizure, AGSz latency, duration of tonic seizure, or seizure  
14 score ( $P>0.05$ ). No PS = no photostimulation; PS = photostimulation.

15

Figure 12



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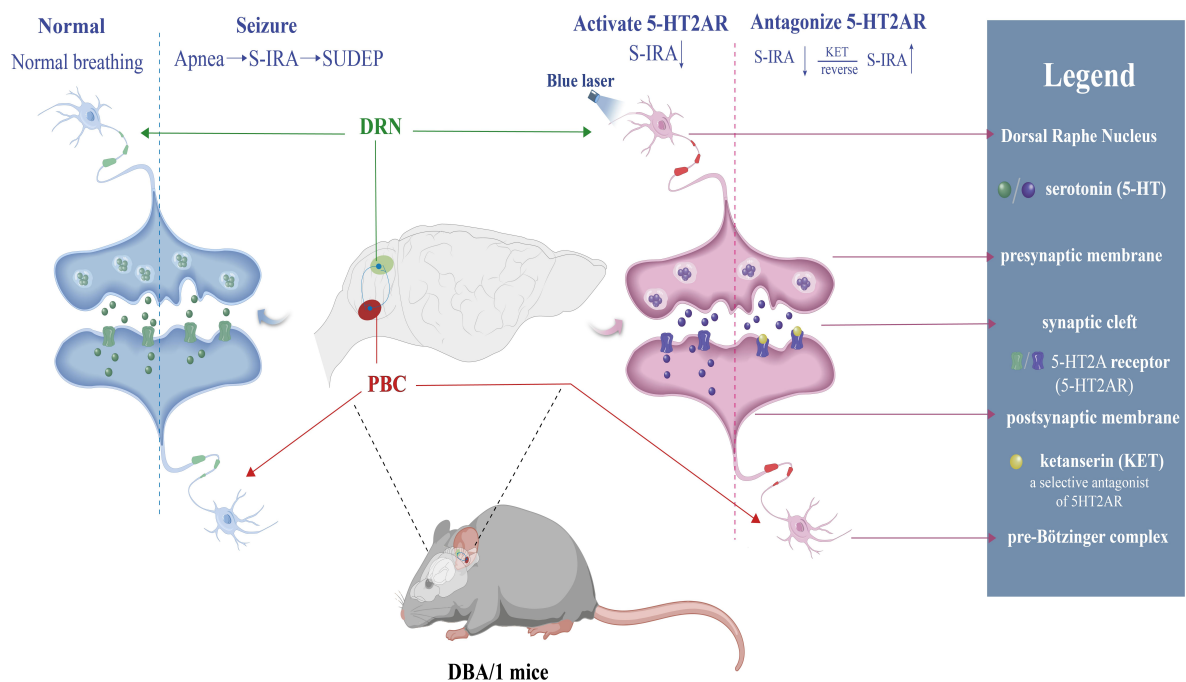
3 **Figure 12. Photostimulation of the DR influenced calcium signaling in the PBC**

4 **during PTZ-induced seizures.**



1 A-D, Photometric recordings from all DBA/1 mice infected with ChETA and  
2 GCaMP6f in the DR and the bilateral PBC and of neural activity based on calcium  
3 signaling in the bilateral PBC. Shown are representative images of the tracks of optic  
4 fibers implanted into the DR and the bilateral PBC and staining for ChETA, TPH2  
5 and GCaMP6f, NK1R, 5-HT2AR, and DAPI in the DR and bilateral PBC. E-H, In the  
6 group without photostimulation of the DR, the activity wave of calcium signals from  
7 the bilateral PBC was strong during clonic and tonic seizures evoked by PTZ. E-F,  
8 However, the activity wave of calcium signals was weaker in the group with  
9 photostimulation of the DR during clonic and tonic seizures.

Figure13



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12 **Figure 13. Mechanism by which 5-HT neurons in the brain modulate S-IRA and**  
13 **SUDEP via the neural circuit between the DR and PBC.**

14 SUDEP: sudden unexpected death in epilepsy; S-IRA; seizure-induced respiratory

- 1 arrest; KET: ketanserin; PBC; pre-Bötzinger complex; DR; dorsal raphe nucleus;
- 2 5HT2AR; 5HT2A receptor.
- 3

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